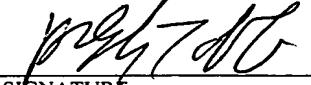


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| FORM PTO-1390) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (REV. 9-2001) | | ATTORNEY'S DOCKET NUMBER 511.40998X00 filed Dec. 18, 2001 |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/018188 |
| INTERNATIONAL APPLICATION NO. PCT/JP00/03891 | INTERNATIONAL FILING DATE June 15, 2000 | PRIORITY DATE CLAIMED June 18, 1999 |
| TITLE OF INVENTION CMP ABRASIVE, METHOD FOR POLISHING SUBSTRATE AND METHOD FOR MANUFACTURING SEMICONDUCTOR DEVICE USING THE SAME, AND ADDITIVE FOR CMP ABRASIVE | | |
| APPLICANT(S) FOR DO/EO/US MACHII, YOUTI KOYAMA, NAOYUKI ;HAGA, KOUJI;YOSHIDA, MASATO;HIRAI, KEIZOU;ASHIZAWA, TORANOSUKE; | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| <ol style="list-style-type: none"> <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31). <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))) <ol style="list-style-type: none"> a. <input type="checkbox"/> is transmitted hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office(RO/US) <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | |
| Items 11 to 20 below concern document(s) or information included: | | |
| <ol style="list-style-type: none"> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. 14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A change of power of attorney and/or address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: Credit Card Payment Form; PCT Request Form; International Publication No. WO00/79577; International Search Report w/refs; International Preliminary Examination Report | | |

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| U.S. APPLICATION NO. (If known, See 37 CFR 1.492(e)) 10/018188 | INTERNATIONAL APPLICATION NO. PCT/JP00/03891 | ATTORNEY'S DOCKET NUMBER 511.40998X00 | | |
| 21. The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a) (1) - (5)): <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1040.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....\$890.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$740.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)......\$710.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)......\$100.00 | | CALCULATIONS PTO USE ONLY | | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | \$890.00 | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). | | \$ | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | \$ |
| Total Claims | 12- 20 = | | x \$18.00 | \$ |
| Independent Claims | 2- 3 = | | x \$84.00 | \$ |
| MULTIPLE DEPENDENT CLAIMS(S) (if applicable) | | + \$280.00 | | \$ |
| TOTAL OF ABOVE CALCULATIONS = | | \$890.00 | | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½. | | + | | \$ |
| | | SUBTOTAL = | | \$890.00 |
| Processing fee of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(f)). | | □ 20 □ 30 | | \$ |
| TOTAL NATIONAL FEE = | | \$890.00 | | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | + \$40.00 | | |
| TOTAL FEES ENCLOSED = | | \$930.00 | | |
| | | Amount to be refunded: | | \$ |
| | | charged: | | \$ |
| a. <input type="checkbox"/> A check in the amount of \$_____ to cover the fees is enclosed. | | | | |
| b. <input type="checkbox"/> Please charge my Deposit Account No. 01-2135 in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. | | | | |
| c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposition Account No. 01-2135 . A duplicate copy of this sheet is enclosed. | | | | |
| d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | |
| Antonelli, Terry, Stout & Kraus, LLP 1300 North Seventeenth Street Suite 1800 Arlington, VA 22209 USA | | | | |
|  SIGNATURE Ralph T. Webb NAME 33,047 REGISTRATION NO. | | | | |